

学校编码: 10384  
学号: X2007114001

分类号\_\_\_\_密级\_\_\_\_  
UDC\_\_\_\_\_

廈門大學

碩 士 學 位 論 文

动词名化的认知机制及其在学术文本中的应用

**Cognitive Mechanism of Verbal Nominalization and Its  
Application in Academic Writing**

蔡 丹 瑜

指导教师姓名: 林 立 副 教授

专 业 名 外国语言学及应用语言学

论文提交日期: 2011 年 5 月

论文答辩时间: 2011 年 6 月

学位授予日期: 2011 年 6 月

答辩委员会主席: \_\_\_\_\_

评 阅 人: \_\_\_\_\_

2011 年 6 月

厦门大学博硕士论文摘要库

## 厦门大学学位论文原创性声明

本人呈交的学位论文是本人在导师指导下，独立完成的研究成果。本人在论文写作中参考其他个人或集体已经发表的研究成果，均在文中以适当方式明确标明，并符合法律规范和《厦门大学研究生学术活动规范（试行）》。

另外，该学位论文为（ ）课题（组）的研究成果，获得（ ）课题（组）经费或实验室的资助，在（ ）实验室完成。（请在以上括号内填写课题或课题组负责人或实验室名称，未有此项声明内容的，可以不作特别声明。）

声明人（签名）：

年 月 日

厦门大学博硕士论文摘要库

## 厦门大学学位论文著作权使用声明

本人同意厦门大学根据《中华人民共和国学位条例暂行实施办法》等规定保留和使用此学位论文，并向主管部门或其指定机构送交学位论文（包括纸质版和电子版），允许学位论文进入厦门大学图书馆及其数据库被查阅、借阅。本人同意厦门大学将学位论文加入全国博士、硕士学位论文共建单位数据库进行检索，将学位论文的标题和摘要汇编出版，采用影印、缩印或者其它方式合理复制学位论文。

本学位论文属于：

☐ 1.经厦门大学保密委员会审查核定的保密学位论文，  
于     年     月     日解密，解密后适用上述授权。

☐ 2.不保密，适用上述授权。

（请在以上相应括号内打“√”或填上相应内容。保密学位论文应是已经厦门大学保密委员会审定过的学位论文，未经厦门大学保密委员会审定的学位论文均为公开学位论文。此声明栏不填写的，默认为公开学位论文，均适用上述授权。）

声明人（签名）：

年     月     日

厦门大学博硕士论文摘要库

## Abstract

Nominalization is a frequently used linguistic device in most languages. It refers to the transformation from other word classes, like verbs or adjectives, to nouns. The former is called verbal nominalization and the latter is adjectival nominalization. Many a linguist of various schools has researched verbal nominalization such as traditional grammar, transformational-generative grammar, systemic-functional grammar and cognitive grammar. This dissertation explores the verbal nominalization from the cognitive perspective and tries to explain the mechanisms of verbal nominalization.

Verbal nominalization is a change of cognitive perspective. The verb is a one-dimensional temporal action, while the noun is a three-dimensional spatial thing. The verbal nominalization is mostly the shift from a dynamic and concrete process to a static and abstract thing. This dissertation focuses on the act-agent shift, act-patient shift and act-result shift and explores their cognitive mechanism. This shift is accordant to human's basic principles of event cognitive frame. In Langacker's theory, the motion event cognitive frame is the fundamental and typical cognitive frame among all the cognitive frames. He mainly adopts the figure/ground theory to analyze the typical event and distinguishes the participants (most prominent in cognition) from the setting (time, place etc., less prominent). While Talmy (1985, 1988) studies the concept structures of motion event frame and establishes the six essential cognitive components (or concept components): figure, ground, motion, path, manner and cause. Langacker calls the latter three components as setting. Talmy emphasizes the less prominent components and tries to employ the windowing of attention to analyze English syntax. The so-called windowing of attention is a cognitive process to profile some parts of the event frame.

Based on the theoretical model of Langacker and Talmy, Wang Yin (2007: 239) evokes the Event-domain Cognitive Model (ECM). The two elements in the ECM are Action and Being, which correspond to the two word classes in general language: verb

and noun. ECM can well interpret the metonymic mechanism of verbal nominalization and provide a unified experience base for metonymy. In fact, ECM also reflects the metonymic thinking in human's cognition. This dissertation employs ECM to analyze the mechanism of verbal nominalization. Integrating with the prominence theory and the figure/ground theory, it expounds the metonymic mechanism of the verbal nominalization. It is a change of perspective and profiles the action part of event cognitive frame.

From the above cognitive analysis of verbal nominalization, we can conclude that: verb which is temporal, is usually employed to describe the concrete process, and emphasizes the interactive relation between the components; while verbal nominalization is used to express a whole category or concept, which is atemporal and contains all the relation in a category. When it comes to the academic writing, the intrinsic traits of academic writing determine the frequent use of verbal nominalization. The formality, the concision, the expressiveness and the objectivity of academic writing lead to its employment of the highly condensed and abstract nominalization.

The abundant nominalization term will enhance the academic writing's specialty and formality. As highly condensed concept of a whole, nominalization allows us to add many adjectives or even clauses to modify it, which may increase its accuracy and expressiveness in the theoretical level. A multitude of nominalization in academic writing will improve its concision and expressiveness at the same time, even though it may cause the readers feel elaborative. What's more, the weakening or ellipsis of the tense, the agent or the patient of an action will conceal the subjectivity and emphasize the objectivity.

Of course, the dissertation just explores the metonymic mechanism of verbal nominalization within the framework of ECM and the profiling theory in the cognitive linguistics. Finally I adopt this mechanism of nominalization to research the frequent employment of nominalization in academic writing and expound the reason for it. The frequent employment of nominalization is the results of the intrinsic features in academic writing. I hope these findings will be a help to the



teaching and learning in academic writing and will widen the scope of cognitive application in verbal nominalization.

**Key Words:** Verbal Nominalization; ECM; Profile; Academic writing

厦门大学博硕士论文摘要库

## 摘 要

名词化是许多语言中都存在并频繁使用的一种语言现象。它是其他词类，比如动词、形态词向名词转化的过程。前者称为动词名化，后者称为形容词名化。不同流派的许多语言学家都曾经研究过动词名化，比如传统学派，转换生成学派，系统功能学派和认知学派等。本论文从认知角度研究动词名化，并试图解释其认知机制。

动词名化是一种认知角度的改变。动词转换成名词是一维的时间向三维的空间转换，是动态向静态、具体向抽象转换的结果。本文考察了动词名化现象中最典型的动作转施事受事和动作转结果两大类型，并分析了这类转换的认知释义。这是符合人类最基本的事件认知框的原理。根据 Langacker 的理论，动作事件认知框是所有的认知框中最基本及最典型的认知框。Langacker 主要采用“图形-背景”理论来解释典型事件，在其概念结构中区分了参与者（认知中处于最凸显的地位）和场景（时间、地点等，次凸显）。而 Talmy (1985, 1988) 对运动事件框架的概念结构进行深入研究，确认了与动态动词密切相关的六种基本的认知意义成分（或概念成分）：图形、背景、运动、路径、方式和原因。后三者 Langacker 统称为“场景”。Talmy 侧重用后三者等次凸显成分来分析英语的句法。所谓“注意窗”，即对事件框架中某些部分做前景化处理的认知过程。

王寅(2007:239)在 Langacker 和 Talmy 的理论模型基础上，提出了事件域认知模型(Event-domain Cognitive Model, 简称 ECM)。ECM 中的两大基本元素：行为(Action)和事体(Being)与语言中普遍存在的两大词类范畴-----动词和名词----相对应。ECM 具有较强的解释力，能合理地解释动词名化中的转喻机制，为转喻提供了一个统一的体验基础。事实上，ECM 也是人类认知中转喻思维的一种体现。本文借用事件域认知模型，用来分析动词名化现象的运行机制，并结合凸显理论和图像-背景理论等，说明动词名化是人们根据视角的转换，对事件认知框的动作部分（前景）进行处理和凸显，让其背景化，使其转换成名词的过程。

从上面对动词名化的认知机制的分析我们得知，动词常用于描写具体过程，

强调其中的各成分的关系，具有时间性；名化词常用于表述一个整体的范畴，包括了范畴内的所有关系，隐藏了时间性。动词名化是学术文本的最重要特征之一，这是由学术文本本身的内在特点决定的。学术文本的正式性，准确性，简洁性，客观性，并要求信息量大，使得学术文本中不得不经常使用高度概括性和抽象的名词化。

名词化术语的频繁使用使学术文本显得专业性强，更正式。由于名词化作为一个整体的概念有很强的概括性，我们可以增加形容词等修饰语，增加其信息量和准确性。大量使用名词化让学术文本在简洁的同时，又包含了很多的信息量，造成读者费解。名词化的使用，弱化或者省略了时态、主语及宾语等，使得学术文本隐藏了主观性，强调了客观性等等。

本文只是选取认知语言学中的一个角度----事件域认知模型和凸显理论-----对动词名化的转喻机制进行阐释。最后我们利用名词化的运行机制，针对学术文本频繁使用名词化的现象进行研究，得出学术文本的特点决定其必须经常使用名词化的结论。期望这个结论对于学术文本的学习和教学能提供一定的参考价值，能补充并拓宽了认知语言学研究对动词名化的思路。

**关 键 词：**动词名化；事件域认知模型；凸显；学术文本

## Table of Contents

<b>Abstract.....</b>	<b>i</b>
<b>摘 要.....</b>	<b>iv</b>
<b>Chapter One Introduction .....</b>	<b>1</b>
1.1 Object, purpose and application of the research .....	1
1.2 Layout of the dissertation .....	2
<b>Chapter Two Different Approaches to Verbal Nominalization .....</b>	<b>5</b>
2.1 Jespersen’s research on nominalization .....	5
2.2 Transformational-generative approach to verbal nominalization .....	6
2.3 Systemic-functional approach to verbal nominalization .....	7
2.4 Cognitive approach to verbal nominalization.....	8
2.5 Summary .....	9
<b>Chapter Three Some Basic Concepts in Cognitive Grammar .....</b>	<b>11</b>
3.1 Cognitive frames .....	11
3.2 Figure/Ground theory .....	13
<b>Chapter Four Verbal Nominalization within Cognitive Grammar ...</b>	<b>16</b>
4.1 Defining noun and verb from cognitive perspective .....	16
4.1.1 “Thing”and “relation” .....	17
4.1.2 Cognitive features of verb and noun .....	18
4.1.3 Summary .....	19
4.2 Definition and classification of verbal nominalization.....	19
4.2.1 Definition of verbal nominalization .....	19
4.2.2 Classifications of verbal nominalization .....	20
4.2.2.1 Conversion and derivation .....	20
4.2.2.2 Act-thing shift classifications according to participants.....	21

<b>Chapter Five Cognitive Analysis of Verbal Nominalization .....</b>	<b>25</b>
5.1 Event-domain Cognitive Model .....	25
5.2 Metonymic and hierarchic property of ECM .....	26
5.3 The profiling of verbal nominalization.....	28
<b>Chapter Six Application of Verbal Nominalization in Academic Writing .....</b>	<b>32</b>
6.1 Concision of nominalization .....	34
6.2 Formality of Nominalization .....	36
6.3 Expressiveness and accuracy of nominalization .....	38
6.4 Objectivity of nominalization .....	40
6.5 Summary .....	42
<b>Chapter Seven Conclusion .....</b>	<b>43</b>
7.1 Summary .....	43
7.2 Implication of the dissertation.....	44
7.3 Limitation of the research and further studies .....	45
<b>References .....</b>	<b>47</b>
<b>Acknowledgements .....</b>	<b>52</b>

# 目 录

英文摘要.....	i
中文摘要.....	iii
第一章 简 介.....	1
1.1 研究对象、目的及其应用.....	1
1.2 论文结构.....	2
第二章 不同流派对动词名化的研究.....	5
2.1 叶斯帕森对名词化的研究.....	5
2.2 转换生成学派对动词名化的研究.....	6
2.3 系统功能学派对动词名化的研究.....	7
2.4 认知语言学派对动词名化的研究.....	8
2.5 小结.....	9
第三章 认知语法的一些基本概念.....	11
3.1 认知框架.....	11
3.2 图形/背景理论.....	13
第四章 认知语法下的动词名化.....	16
4.1 认知角度对动词和名词的定义.....	16
4.1.1 “事体”和“关系”.....	17
4.1.2 事体的独立性和关系的依赖性.....	18
4.1.3 小结.....	19
4.2 动词名化的定义和分类.....	19
4.2.1 动词名化的定义.....	19
4.2.2 动词名化的分类.....	20
4.2.2.1 转类和派生.....	20

4.2.2.2 依照参与者的动作-事体转换类型 .....	21
<b>第五章 动词名化的认知分析 .....</b>	<b>25</b>
5.1 事件域认知模型 .....	25
5.2 事件域认知模型的隐喻性和阶层性 .....	26
5.3 动词名化的凸显 .....	28
<b>第六章 学术写作中动词名化的应用 .....</b>	<b>32</b>
6.1 名词化的简洁性 .....	34
6.2 名词化的正式性 .....	36
6.3 名词化的表达性和准确性 .....	38
6.4 名词化的客观性 .....	40
6.5 小结 .....	42
<b>第七章 结论 .....</b>	<b>43</b>
7.1 总结 .....	43
7.2 论文的意义 .....	44
7.3 研究的局限性和进一步的研究 .....	45
<b>参考文献 .....</b>	<b>47</b>
<b>致 谢 .....</b>	<b>52</b>

## Chapter One Introduction

### 1.1 Object, purpose and application of the research

Nominalization is a common grammatical process of forming noun from other parts of speech, like verbs or adjectives (Richards, 2000:309). Halliday (1994:41) regards nominalization as “any element or group of elements which can function as a noun or noun phrase in a clause.” There are lexical nominalization and clausal nominalization. The first type refers to some nominalized word or word group and the latter denotes any clause which functions as a noun. This dissertation just concentrates on the lexical nominalization.

The literature on nominalization is rather abundant compared to other grammar phenomenon. A lot of scholars has described the phenomenon of it in detailed ways and tried to explain it from different perspectives. To some degree, the study on nominalization can be traced back to Plato and Aristotle in ancient Greece. Although they do not give a clear concept of nominalization, their research has been concerned with the classification of word class into nominal part and verbal part, and the transference between the two.

The starting point of nominalization is the publication of *The Philosophy of Grammar* by Jespersen, in which the phenomenon of English nominalization was studied for the first time. Ever since then, linguists have been trying to approach the linguistic device from different perspectives. Generally speaking, these researches are mainly done within three frameworks, namely, the framework of transformational grammar, the framework of systemic-functional grammar, and the framework of cognitive linguistics. Within the framework of transformational grammar, linguists (e.g. Lees, Chomsky) are generally quite interested in the relationship between verbs and their corresponding verbal nominalizations. The result of the discussion is a transformationalist vs. lexicalist controversy about the internal syntax of English nominalization. On the other hand, other linguists (e.g.



Degree papers are in the "[Xiamen University Electronic Theses and Dissertations Database](#)". Full texts are available in the following ways:

1. If your library is a CALIS member libraries, please log on <http://etd.calis.edu.cn/> and submit requests online, or consult the interlibrary loan department in your library.
2. For users of non-CALIS member libraries, please mail to [etd@xmu.edu.cn](mailto:etd@xmu.edu.cn) for delivery details.

厦门大学博硕士论文摘要库